

## FUNCTION NUMBER 1500

### FISHERY AND LIVING MARINE RESOURCE

#### FUNCTIONAL FILES

Revised NI-370-03-8

(1/03- 1504-20,21)

Function number 1500 deals with programs related to fisheries and living marine resources. 1501 has been replaced with chapter 100. Office Housekeeping files and Research and Development files have been assigned separate functional numbers. The table of contents and index should be consulted.

1502 Resource Assessment, Distribution, and Classification Files

1503 Environmental Impact Analysis Files

1504 Fisheries Management and Coordination Files

1505 Regional Fisheries Development Files

1506 Pribilof Islands Program Files

1507 Fisheries Statistics and Marketing News Reporting Files

1508 Fishery Marketing and Consumer Aid Files

1509 Economic Analysis Files

1510 Vessel Financial Services Files

1511 Fishery Protection and Claims Files

1512 Fishery Product Quality and Safety Inspection Files

1513 Fishery Law Enforcement and Surveillance Files

1514 Marine Mammal and Endangered Species Protection Files

1515 Marine Recreational Fisheries Program File

1516 NRDA Post-Settlement and Administrative Record Files

## 1502 RESOURCE ASSESSMENT, DISTRIBUTION, AND CLASSIFICATION FILES

These files relate to programs to assess the numbers and distribution of marine resources, to assess trends which may be developing, and to clarify types of marine life. Includes material related to commercial and recreational fisheries.

### 1502-01 **Assessment Coordination files.**

Correspondence and related material involving coordination with other agencies, states, and institutions in the planning and operation of resource assessment activities.

#### **Disposition**

Cut off at end of calendar year. Transfer to FRC after 5 years. Destroy after 10 years.

### 1502-02 **Survey Operations files.**

Correspondence, progress reports, and related material concerning the operation of resource assessment activities.

#### **Disposition**

Permanent. Transfer to FRC after 5 years. Offer to NARA when 25 years old.

### 1502-03 **Survey Data files.**

Raw results of surveys and related projects. Also preliminary coordination of data and results.

#### **Disposition**

Permanent. Transfer to FRC after 5 years. Offer to NARA when 25 years old.

### 1502-04 **Survey Report files.**

Final reports showing trends in resource levels or distribution, and portrayals of current biological or environmental situations.

#### **Disposition**

Permanent. Transfer to FRC after 5 years. Offer to NARA when 25 years old.

### 1502-05 **Atlas Files.**

Atlases prepared showing numbers or distribution of resources. If part of report described in 1502-04 above, a copy should be filed with that report.

#### **Disposition**

Permanent. Transfer to FRC after 5 years. Offer to NARA when 25 years old.

### 1502-06 **Taxonomical Studies files.**

Studies on the classification of marine life.

#### **Disposition**

Destroy when no longer needed for reference, or transfer to another repository in accordance with 36 CFR 1228.

### 1502-07 **Program Review files.**

Technical reviews of survey methods or results.

#### **Disposition**

Cut off at end of program year. Destroy 3 years after completion of review.\*

1502-08 **Information Request files.**

Correspondence and related material prepared to respond to requests for information.

**Disposition**

1. Routine requests requiring no special research or policy decisions: Destroy when 3 months old or when no longer needed, whichever is sooner.
2. Other requests: Cut off at end of calendar year. Destroy after 2 years.

1502-09 **Research and Technique Tracking files.**

Documents relating to the tracking of related research being done by other offices, or of assessment techniques which may be of use. (Use 1502-02 for any material relating to a specific survey being conducted.)

**Disposition**

Destroy after 3 years or when no longer needed for reference purposes.

These files relate to reviews of Federal, or Federally licensed, proposals for projects with potential impact on the marine and anadromous environment, and fishery resources.

1503-01 **COE Section 10 Permit Review files.**

Reviews of requests to the U.S. Army Corps of Engineers (COE) for permits for construction in, or other modifications or alterations of navigatable waters; and recommendation for approval, conditional approval, or denial of the requests, based on assessments of environmental impact.

**Disposition**

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superceded or obsolete.

1503-02 **NPDES Permit Review files.**

Reviews of permit requests under National Pollutant Discharge Elimination System (NPDES), controlling effluent discharged into U.S. waters; and resulting assessments and recommendations.

**Disposition**

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superceded or obsolete.

1503-03 **Ocean Dumping Permit Review files.**

Reviews of requests for Environmental Protection Agency permits for the ocean dumping of waste material, and recommendations.

**Disposition**

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superceded or obsolete.

1503-04 **FPC License Review files.**

Reviews of requests for FERC permits for hydroelectric or fossil fuel power plants, and resulting assessments, advice, and recommendations given.

**Disposition**

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superceded or obsolete.

1503-05 **Nuclear Regulatory Commission License Review files.**

Reviews of requests for licenses for nuclear power plants, and resulting assessments and recommendations.

**Disposition**

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superceded or obsolete.

1503-06 **OCS Oil and GAS Lease Review files.**

Reviews of oil and gas leases on the outer continental shelf (OCS) in order to access effects on living marine resources and their habitats; and any comments or recommendations.

**Disposition**

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superceded or obsolete.

1503-07 **Federal Water Project Review files.**

Reviews of proposed or authorized projects by other Federal agencies, and involving the impounding, diverting, modifying, or controlling the waters of any stream or other body of water; and any recommendations made to prevent or mitigate damage to living resources.

**Disposition**

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superceded or obsolete.

1503-08 **EIS Review and Assistance**

Reviews of and comments on draft Environmental Impact Statements (EIS'S) for Federal and Federally funded actions; and assistance given in the preparation of EIS's.

**Disposition**

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superceded or obsolete.

1503-09 **Deleted 10/31/91**

1503-10 **Aquaculture Review files.**

Reviews of aquaculture plans and operations, and related assessments and recommendations.

**Disposition**

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superceded or obsolete.

1503-11 **General Permit Review files.**

Reviews of and recommendations on permit requests not described by other items within this subfunction. Subdivide by permit type if necessary.

**Disposition**

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superceded or obsolete.

1503-12 **CZM Advisory files.**

Correspondence and materials prepared to advise states and the office responsible for Coastal Zone Management (CZM) on effects of management plans and possible estuarine or marine sanctuaries.

**Disposition**

Disposition not authorized.

1503-13 **National Wetland Inventory Review files.**

Reviews of Fish and Wildlife inventories of national wetlands, and resulting assessments and recommendations.

**Disposition**

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superceded or obsolete.

1503-14 **Special Studies files.**

Special studies, usually conducted in cooperation with other agencies or groups relating to land or water projects affecting the marine or water environment or its life. See 1501-16C for published studies.

**Disposition**

Disposition not authorized.

1503-15 **Agency Liaison files.**

General coordination with other agencies or outside bodies. Excludes specific coordination on individual permits and projects identified in this subfunction. See 1501-10 for interagency agreements.

**Disposition**

Cut off at end of calendar year. Destroy after 2 years or when no longer needed for reference purposes, whichever is sooner.

1503-16 **Essential Fish Habitat Consultation Files.** (Rev. 11/02 NI-370-01-4)

Correspondence between the National Marine Fisheries Service (NMFS) and Federal agencies, state agencies or Fishery Management Councils concerning measures to minimize the adverse effects of actions authorized, funded, or carried out by Federal or state agencies on designated EFH.

**Disposition**

- a. Recordkeeping paper copy: Permanent. Cutoff annually. Transfer to FRC when 5 years old. Transfer to NARA with related indexes or finding aids when 25 years old.
- b. Electronic copies created on word processing and electronic mail systems: Delete after recordkeeping copy is produced.

1504 FISHERIES MANAGEMENT AND COORDINATION FILES

These files relate to programs to coordinate plans and research of the Federal Government in the area of fisheries management with those of the states; to obtain maximum uniformity of regulations; to institutionalize cooperation; to issue permits to foreign and domestic fishing vessels; and award related grants.

1504-01 **Program Correspondence files.**

Correspondence on program operations, including designations of formal contacts in the states.

**Disposition**

Cut off at end of calendar year when created or superceded, whichever is appropriate. Destroy 5 years later.

1504-02 **Fishery Management Guidelines files.**

Guidelines developed to aid states in the management of fisheries.

**Disposition**

Cut off at end of calendar year. Review annually. Destroy when superceded or obsolete.

1504-03 **Regulation Coordination files.**

Documents relating to programs to coordinate Federal and state regulations to obtain maximum uniformity, and any recommendations resulting from this coordination.

**Disposition**

Retain until regulation is passed or until no longer needed for reference purposes.

1504-04 **Research Coordination files.**

Correspondence and reports relating to program that coordinate research programs of the states and the Federal government.

**Disposition**

Cut off at end of calendar year. Review annually. Destroy when obsolete or superceded.

1504-05 **Grant Application files.**

Material submitted by states applying for grants described in 1504-06 below.

**Disposition**

1. Accepted applications. Transfer file to 1504-06 below.
2. Rejected applications. Destroy 3 years after grant is rejected or withdrawn.

1504-06 **Closed Grant Case files.**

Case files on grants made to states for the development, implementation, administration monitoring, or evaluation of fishery management plans or resources.

**Disposition**

Break files annually and transfer to FRC. Destroy when 6 years and 3 months old.

1504-07 **Closed Grant Financial Data files.**

Any financial reports, summaries of financing, and related material. May be filed with case file in 1504-06 above.

**Disposition**

Break files annually and transfer to FRC. Destroy when 6 years and 3 months old.

1504-08 **Program Audit files.**

Reports on audits made on state programs or disbursement of funds.

**Disposition**

Cut off at end of year when received. Destroy 5 years later.

1504-09 **Fisheries Management Studies files.**

Special studies conducted on the management and conservation of fish species.

**Disposition**

Permanent. Offer to NARA after 15 years.

1504-10 **Institutional Coordination files.**

Correspondence, reports and other documents relating to programs to institutionalize arrangements for federal-state cooperation in fisheries management.

**Disposition**

Permanent files for originating office. Transfer to FRC when 5 years old. Offer to NARA after 25 years old. Other offices: Destroy when superceded or obsolete.

1504-11 **Fishing Vessel Permit files.**

Applications and permits for vessels to fish in the economic zones.

**a.** Permits for foreign vessels to fish in the U.S. zone.

**Disposition**

Cut off when permit expires or application is rejected. Destroy 15 years later.

**b.** Permits for U.S. ships to fish in foreign zones.

**Disposition**

Cut off at end of calendar year. Destroy 6 years after expiration of permit.

**c.** Permits for U.S. ships to fish in the U.S. zone.

**Disposition**

Cut off at end of calendar year. Destroy 6 years after expiration of permit.

1504-12 **Legislation Review files.**

Reviews of proposed legislation, incorporating views of states and industry. This file pertains to coordination of reviews for fishery management legislation.

**Disposition**

Permanent. Transfer to the FRC when no longer needed for reference, or when superceded. Transfer to the National Archives when 20 years old.

1504-13 **Fishery Management Plan files.**

Plans and implementing regulations for the management of fisheries within a region plans and supporting documents, proposed and final rules, inseason management adjustments, and notices of hearings.



**Disposition**

Headquarters: Permanent. Transfer to the FRC when no longer needed for reference or when superseded. Transfer to the National Archives when 20 years old. Regional FMC files: Permanent. Transfer to FRC when no longer needed for reference. Transfer to the National Archives when 20 years old.

**1504-14 Fishery Management Council (FMC) Organization files.**

Documents relating to guidance on preparation and publication of regulations in the Federal Register, and formation, membership, responsibilities, etc., of FMC's.

**a. Legislation.****Disposition**

Items 1504-14a, b, c:

Headquarters Files: Permanent. Transfer to FRC when no longer needed for reference, or when superseded. Transfer to the National Archives when 20 years old.

**b. Regulations.****Disposition**

Regional Office FMC files: Permanent. Transfer to FRC when no longer needed for reference or when superseded. Transfer to the National Archives when 20 years old.

**c. Charters.****d. Responsibilities.****Disposition**

Break files every 5 years, or each council term of office, and transfer to FRC. Destroy when 30 years old.

**e. Council Membership.****Disposition**

Headquarters Files: Permanent. Transfer to FRC when no longer needed for reference, or when superseded. Transfer to the National Archives when 20 years old.

**f. Lead designations for plans.****g. Scientific and statistical committees.****h. Advisory panels.****Disposition**

\*Items f, g, h:

Break files every 3 years or at termination of panel or committee and transfer to FRC. Destroy when 20 years old.

**1504-15 Fishery Management Regulations files.**

Documents relating to guidance on preparation and publication of regulations in the Federal Register and regulatory training materials pertaining to fishery regulations development and publication of regulations pertaining to fisheries management (including Fishery Management Plans).

**Disposition**

Destroy when no longer needed for reference or when superceded.

**1504-16 Fishery Management Council (FMC) Operations files - N1-370-90-3.**

Documents relating to the meetings and programs of FMC's. See 1504-13 for Fishery Management Plans, 1504-15 for regulations, and 1504-17 for FMC administrative support.

**a. Meeting plans****Disposition**

Destroy meeting plans after 2 years.

**(1) Federal Register Notices of Meetings****Disposition**

Destroy 1 year after publication.

**(2) Files Documenting the Clearance and Processing of Proposed and Final Rules, along with the final or Proposed Rules.****Disposition**

Permanent. Transfer to FRC 5 years after publication. Offer to NARA after 20 years.

**b. Minutes and report of meetings. (See Attached Revision)****(1) Audiotapes of meetings****(a.) If tape is only record of meeting:****Disposition**

Permanent. Transfer to the FRC when 5 years old. Transfer to the National Archives when 10 years old.

**(b.) If tape is transcribed or summarized.****Disposition**

Destroy when transcript, minutes, or other summary is verified and approved.

**(2) Textual records of meetings.****Disposition**

Permanent. Transfer to the FRC in five year blocks when ten years old. Transfer to the National Archives when 20 years old.

**c. Resolutions.****Disposition**

Council resolutions permanent. Transfer to FRC when file becomes inactive. Offer to NARA after 20 years.

**d. Program Reports (other than admin. report in 1504-17n).****Disposition**

Destroy 2 years after report is discontinued.

e. Workshop and special issue development.

**Disposition**

Destroy after 2 years or when no longer needed for reference purposes.

f. Liaison activities with other organizations.

**Disposition**

Destroy after 2 years.

g. Publications, Record set of official publications issued by Fishery Management Councils.

**Disposition**

Permanent. Transfer to the FRC in five year blocks when 10 years old or when no longer needed for reference. Transfer to the National Archives after 20 years old.

1504-17 **Fishery Management Council (FMC) Administration files.**

Documents relating to the administrative support of council operations.

a. Audit files.

**Disposition**

Cut off at end of fiscal year. Destroy 8 years after audit is closed.

b. Budget files.

**Disposition**

Destroy 3 years after close of fiscal year covered by the budget.

c. Finance files.

**Disposition**

Destroy when 3 years old.

d. Grant files.

**Disposition**

Destroy 6 years and 3 months after grant is closed.

e. Legal files (including liability questions, subpoenas, etc.).

**Disposition**

Destroy 7 years after case is closed.

f. Mailing lists

**Disposition**

Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner.

g. Meetings (other than formal council meetings).

**Disposition**

Destroy when 3 years old or when no longer needed for reference purposes.

**h. Milestones for councils.**

**Disposition**

Destroy when 3 years old or when no longer needed for reference purposes.

**i. Personnel files.**

**Disposition**

Review annually, destroy superceded or obsolete documents: Destroy all documents relating to an individual employee within one year after separation or transfer.

**j. Routine Procurement Files. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment.**

**(1) Procurement or purchase organization copy, and related papers.**

- a. Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.**

**Disposition**

Destroy 6 years and 3 months after final payment.

- b. Transaction of \$25,000 or less and construction contracts under \$2,000.**

**Disposition**

Destroy 3 years after final payment.

**(2) Obligation copy**

**Disposition**

Destroy when funds are obligated.

**(3) Other copies of records described above used by component elements of a procurement office for administrative purposes.**

**Disposition**

Destroy upon termination or completion.

**(4) Data Submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.**

**Disposition**

Destroy when 5 years old.

**k. Property management files.**

**Disposition**

Destroy when 2 years old.

**l. Public affairs files.**

**Disposition**

Destroy when 2 years old.

**m.** Travel files.

**Disposition**

Destroy when 3 years old.

**n.** Administrative report files.

**Disposition**

Destroy when 2 years old or when report is canceled, whichever is sooner.

1504-18 **Permit Fee files.**

Documents pertaining to the establishment and collection of fees associated with fishery permits.

**a.** Files pertaining to the establishment of fees and fee systems.

**Disposition**

Destroy when no longer needed for current agency business.

**b.** Billing and collection files. Include billings receipts, and other documents relating to the collection of fees from permit holders.

**Disposition**

Cut off at end of fiscal year when created. Destroy 6 years and 3 months later.

1504-19 **Program Issue files.**

Correspondence and other documents pertaining to fishery management issues, but not relating to a specific action (e.g. a permit or grant request) or direct policy planning.

**Disposition**

Cut off at end of calendar year. Destroy after 2 years.

1504-20 **Individual Fishing Permit Files**

a. The Restricted Access Management (RAM) program was established in 1993 to implement the fixed gear Pacific halibut and sablefish Individual Fishing Quota (IFQ) program in Alaska. RAM has since become the primary agency responsible for implementing all limited access commercial fishing programs in federal waters off Alaska that involve the issuance of federal permits.

The Secretary of Commerce adopted the IFQ Program in 1993 as a management plan to replace the traditional open access fisheries for Pacific halibut and sablefish in federal waters off Alaska. Initial participants and awards of Quota Shares (QS) were determined in 1994 after an extensive application period. Anyone not initially awarded QS and IFQ must apply to RAM to become eligible to receive QS by transfer then locate a current holder of QS who wishes divest of some or all of their QS.

Individual Fishing Quota (IFQ) is the annual catch limit of sablefish or halibut that may be harvested by a person lawfully allocated a harvest privilege. Annual IFQ allocations are based in part on the amount of Quota Shares (QS) held by the person in a specific area for a specific species. QS were initially awarded in 1994 to a closed group of persons. However, eligible persons may apply to receive QS by transfer. An IFQ Permit file contains information on the QS held, the transfer eligibility status of the person, the annual IFQ permits, and transfers of QS/IFQ in or out of the QS holders name. The Annual IFQ Permit contains the annual catch limit by species and area.

For persons who received QS/IFQ initially or by transfer: an IFQ file becomes inactive five years after the date the person last held QS or obtained IFQ by transfer. For person who applied for an initial allocation of QS or to obtain transfer eligibility status but never received QS or IFQ: the file becomes inactive five years after the last date of written contact with RAM. The RAM Program will close each file(s) after it has been inactive for five years.

**Disposition:**

Cut off 5 years after permit is granted. Retire to the FRC one year after cut off. Destroy 25 years after cut off.

b. Electronic copies created with electronic mail and wordprocessing applications.

**Disposition:**

Temporary. Delete when recordkeeping copy has been deleted.

1504-21 **Registered Buyer Certificate Files**

a. An IFQ Registered Buyer permit, under 50 CFR 679.4, is required of any person who receives IFQ Halibut, CDQ halibut, or IFQ sablefish from persons who harvested the fish; any person who harvests IFQ halibut or IFQ sablefish and transfers such fish in a dockside sales outside of an IFQ regulatory area or outside the State of Alaska; and finally this permit is required of a vessel operator who obtains vessel clearance or submits a vessel departure report.

The IFQ Registered Buyer Certificate is the physical permit issued to the IFQ Registered Buyer. This certificate contains the name and address of the IFQ Registered Buyer and their IFQ Registered Buyer permit number for reporting purposes. These permits are currently issued on an annual basis.

To coincide with the disposition of similar permit files (Federal Fisheries Permits/Federal Processor Permits and High Seas Fishing Permits - both of which have a six year retention). Registered Buyer Certificates are active for only one year at a time. The certificates are reissued every year effectively closing out the previous years certificate.

**Disposition:**

Cut off when the certificate expires. Retire to the FRC one year after cut off.  
Destroy 7 years after cut off.

b. Electronic copies created with electronic mail and processing applications.

**Disposition:**

Temporary. Delete when recordkeeping copy has been deleted.

## 1505 REGIONAL FISHERIES DEVELOPMENT FILES

These files relate to programs to assist the development of fisheries, either commercial or recreational, in regions of the country. Columbia River programs are included.

1505-01 **Program Development Plan files.**

Plans written for overall development of fisheries in a region.

**Disposition**

Permanent. Transfer to FRC when 5 years old. Offer to NARA when 20 years old.\*

1505-02 **Program Correspondence files.**

General correspondence with states, industries, or groups about general development programs; also operational correspondence.

**Disposition**

Cut off at end of calendar year. Destroy after 2 years.

1505-03 **Program Coordination files.**

Correspondence with NOAA to coordinate efforts affecting the development of fisheries.

**Disposition**

Cut off at end of calendar year. Destroy after 2 years.

1505-04 **Studies files.**

Study report, and related background material, on studies conducted on matters related to regional development. May be subdivided into proposed and accepted studies.

**Disposition**

Destroy 5 years after completion or cancellation of study.\*

1505-05 **Species Utilization Development files.**

Documents concerning the increased utilization of species through better management and marketing techniques; and related information on species availability, etc.

**Disposition**

Cut off at end of calendar year. Destroy after 3 years.\*

1505-06 **Marketing Development files.**

Correspondence and plans concerning the improvement of marketing techniques for seafood in a particular region. Does not include material for individual species (see 1505-05 above) unless integrated into an overall plan for region. Does not include regular marketing improvement files (see 1508).

**Disposition**

Cut off at end of calendar year. Destroy after 3 years.\*

1505-07 **Hatchery Program files.**

Documents relating to the cooperative operation of hatcheries, such as for the Columbia River Program. Includes copies of contracts, evaluations of results, and similar records.

**Disposition**

Cut off at end of calendar year when created. Destroy 7 years later.

1505-08 **Pollution Abatement files.**

Documents relating to programs to limit and reduce the amounts of pollution in waters as part of program to aid development of fisheries in region.

**Disposition**

Cut off at end of calendar year. Destroy 7 years later.\*

1505-09 **Obstruction and Assistance files.**

Documents dealing with obstructions to fish in water-ways, such as dams, and assistance (such as ladders or screens) provided to by-pass such obstructions.

**Disposition**

Cut off at end of calendar year. Destroy after 3 years.



- 1505-10 **Stream Improvement files.**  
Documents pertaining to action taken to improve streams or other water ways to aid fish resources.  
**Disposition**  
Cut off at end of calendar year. Destroy after 3 years.\*
- 1505-11 **Catch Statistics files.**  
Statistics on the number of fish caught, either by species or area.  
**Disposition**  
Cut off at end of calendar year. Destroy after 3 years.
- 1505-12 **Operation Improvement files.**  
Investigations and recommendations concerning improvement in operations of segments of a regional program.  
**Disposition**  
Destroy 3 years after investigation is completed.\*
- 1505-13 **Aquaculture Program files.**  
Documents relating to the development, promotion, and evaluation of aquaculture programs and techniques.  
**Disposition**  
Permanent. Break files every 5 calendar years and transfer to FRC. Transfer to NARA when 20 years old.\*

#### 1506 PRIBILOF ISLANDS PROGRAM FILES

These files relate to programs to conserve and utilize the fur seals of the Pribilof Islands, and in carrying out NOAA's responsibilities with the island's residents.

- 1506-01 **Fur Seal Contract files.**  
Contracts and related correspondence regarding the fur seal harvest and the processing and sale of products.  
**Disposition**  
Disposition not authorized.
- 1506-02 **Sealing Catch Data files.**  
Data on seals taken and resulting products. Includes daily kill records, annual kill report, annual statistical summaries, tallies of skin shipped and meal and oil produced, specimens given for research, etc.  
**Disposition**

Disposition not authorized.

1506-03 **Monthly Activity Report files.**

Monthly report of activities which take place on the islands.

**Disposition**

Disposition not authorized.

1506-04 **Operational Correspondence files.**

General correspondence on island activities and operations.

**Disposition**

Disposition not authorized.

1506-05 **Complaint Correspondence files.**

Correspondence concerning complaints from public or Congress about sealing particles.

**Disposition**

Complaints from public: Destroy when 3 months old. Complaints from Congress: Cut off at end of calendar year when receive. Destroy 3 years later.

1506-06 **Veterinarian Study files.**

Special studies conducted by veterinarians on the development of more humane methods of killing seals.

**Disposition**

Disposition not authorized.

1506-07 **Native Resident files.**

Documents pertaining to programs for residents of the islands.

**Disposition**

Permanent. Transfer to FRC after 7 years. Offer to NARA 20 years later.

1506-08 **Wildlife Management files.**

Documents relating to the management of Pribilof Island wildlife other than fur seals.

**Disposition**

Disposition not authorized.

1506-09 **Fur Seal other Indigenous Mini Ped Research Files.**

Documents and data on the ecology and biology of the Northern Fur Seal and other migratory mammals resulting from single or coordinated research programs and containing documentation on program operation, research techniques, objectives, data collection, and program evaluation.

**Disposition**

Permanent. Break files every 5 years and transfer to FRC. Transfer to the National Archives when 20 years old, or on completion of the project.

## 1507 FISHERY STATISTICS AND MARKETING NEWS REPORTING FILES

These files relate to the reporting of statistical information concerning fish and the fishery industry, and related publications. Not included are statistics involved in assessing the resources (those files are covered in 1502).

### 1507-01 **Statistic Agreement files.**

Agreements with companies to obtain statistics.

#### **Disposition**

Destroy when superceded or obsolete.

### 1507-02 **Statistic Reporting Procedures files.**

Procedures for the reporting of statistics in the most usable form.

#### **Disposition**

Destroy when reporting system is superceded or 3 years after report is canceled.\*

### 1507-03 **Market News Report files.**

Record set of the Market News Reports and the Annual Market News Summaries.

**Disposition**

Cut off at end of calendar year. Permanent. Transfer to FRC after 5 years. Offer to NARA 20 years later.\*

**1507-04 Market News Source files.**

Correspondence, price, and other data used as source material for published Market News Report or Summaries.

**Disposition**

1. Correspondence: Cut off at end of calendar year when created. Destroy 2 years later.

2. Source material: Destroy after publication of related report or summary.

**1507-05 Market News Issuances files.**

a. Record set of issuances.

**Disposition**

Cut off at end of calendar year when created. Permanent. Transfer to FRC after 5 years. Offer to NARA 20 years later.

b. Copies of issuances kept by office for reference purposes and to answer questions from the public.

**Disposition**

Cut off at end of calendar year when created. Destroy 6 years later.

**1507-06 Market New Issuance Source files.**

Daily production and other feeder reports used as source material, and related correspondence. Subdivide by type of report.

**Disposition**

1. Daily production and similar reports from fish dealers: Destroy when 6 months old.
2. Import receipts, cold storage data, railroad receipt forms on arrivals, and similar industry report; Cut off at end of calendar year when created. Destroy 2 years later.

**1507-07 Market News Subscription files.**

Subscriptions from industry and public for market news reports or issuances.

**Disposition**

Destroy after 2 years.

**1507-08 Special Reports files.**

Special reports on statistical or marketing information or problems.

**Disposition**

Destroy 3 years after issuance of report, for reference purposes, whichever comes first.

**1507-09 Statistical Publications files.**

Record set of fishery publications other than described in 1507-03 and 1505-05 above. Subdivide by type of publication.

**Disposition**

Cut off at end of calendar year when created. Permanent. Transfer to FRC after 5 years. Offer to NARA 20 years later.

1507-10 **Marine Recreational Fisherman's Catch files.**

Statistics on catches by species, length, weight, etc. A Privacy Act record.

**Disposition**

Destroy when superceded by new statistical information or when no longer needed for reference purposes.\*

1507-11 **Statistical Data Files** (Supersedes NOAA Disposition handbook Item 1507-11)

Paper reports, schedules, and printouts of statistics relating to fish and fishery industry.

**Disposition**

Cutoff annually. Retire to the FRC 5 years after cutoff. Destroy 20 years after cutoff.

1507-12 **Public Information files.**

Reference material gathered to aid responses to common information requests from the public. Also any minor research done for such requests.

**Disposition**

Destroy when no longer needed for reference purposes.

1507-13 **Survey Operations files.**

Documents relating to the operation of both one-time and continuing data-gathering and processing projects. Includes work done by contractors and grantees. See 1507-02 for procedures of on-going applicability, assessment surveys.

**a.** One-time survey files. Proposals, procedures, operational and guidance, and other materials relating to the conduct of one-time survey or data-gathering projects.

**Disposition**

Destroy 3 years after survey data is released.

**b.** Continuing Survey Operations Files (Supersedes NOAA Disposition Handbook 1507-13b)

Documents relating to the day-to-day operations of an ongoing project. Includes work done by contractors and grantees.

**Disposition**

Cutoff annually. Retire to the FRC 5 years after cutoff. Destroy 20 years after cutoff.

**Electronic Copies**

Electronic copies of records listed on this schedule that are created using electronic mail or word processing

**Disposition**

Delete when the recordkeeping copy is produced.

1507-14 **Industry Relations files.**

Correspondence and other documents concerning relations with individual companies or an industry, and relating to general statistical needs, problems,

procedures, etc. See 1507-01 for formal agreements, and 1507-13 for dealings which are part of a specific data-gathering project.

**Disposition**

Cut off at end of calendar year. Destroy after 2 years.

1507-15 **Confidentiality files.**

Documents relating to the protection of confidential statistics, and to the authorized access to such information. See 1501-05 and 1501-06 for applicable laws, directives, etc.

**a.** Documents relating to the identification of material requiring protection, and the methods of providing it.

**Disposition**

Destroy when superceded or obsolete.

**b.** Documents authorizing or denying access to protected information. Includes Statements of Non-disclosure, lists of authorized users, special access requests, and similar material.

**Disposition**

Destroy 2 years after authorization expires.

**c.** Documents relating to release or protection agreements not covered in 1507-01 or 1507-13 above.

**Disposition**

Destroy 2 years after protection agreement expires.

**d.** General confidentiality correspondence.

**Disposition**

Destroy when 2 years old.

#### 1508 FISHERY MARKETING AND CONSUMER AID FILES

These files relate to programs aiding fishery industries in marketing seafood products. See 1505 for records relating to total fishery development within a region of the country.

1508-01 **Marketing Development Plan files.**

Plans and reviews of plans to develop more effective marketing of seafood products.

**Disposition**

Disposition not authorized.

1508-02 **Market Analysis Report files.**

Quarterly reports on the market situation and its outlook; and on-going analyses to identify trends in the market.

**Disposition**

Disposition not authorized.

1508-03 **State Marketing Program files.**

Correspondence and related material giving assistance to states in marketing programs. See 1505 for major regional development programs.

**Disposition**

Disposition not authorized.

1508-04 **Cooperative Marketing Agreement files.**

Agreements made in accordance with the Fishery Cooperative Marketing Act.

**Disposition**

Destroy 3 years after agreements are superceded.

1508-05 **Promotional files.**

Recipes, photos, and other promotional material to aid in marketing seafood products. Includes demonstration material.

**Disposition**

Permanent. Retire one original of each to FRC when no longer used as marketing material. Offer to NARA 20 years after retirements.

1508-06 **Survey files.**

Surveys conducted to determine consumer preferences and use patterns. Includes questionnaires, reports and reactions of consumers, and reports of data complications.

**Disposition**

Cut off at issuance of final report. Destroy 3 years late.

25.

## 1509 ECONOMIC ANALYSIS FILES

These files relate to analyses of the fishing industry and its markets.

1509-01 **Economic Study files.**

Studies of the fishery industry, or segments of it, to determine its present health, the effects of international trade or technological changes, or the impact of other variables. Includes final studies, schedules and other data used as input, and related correspondence.

a. Records set of final reports.

**Disposition**

Disposition not authorized.

b. Schedules and other papers uses as source material for study and related correspondence.

**Disposition**

Disposition not authorized.

1509-02 **Fishery Situation files.**

Reports and correspondence concerning the economic situation in a region or with a selected species. Documents pertaining to a specific study should be filed with a 1509-01 above.

**Disposition**



Disposition not authorized.

1509-03 **Cost-Benefit Study files.**

Studies determining the cost-benefit ratio of current or purposed NOAA programs affecting the fishery industry.

**Disposition**

Disposition not authorized.

1509-04 **Economic Coordination files.**

Correspondence and reports giving advice on means of coordinating NOAA activities relating to fishery economics.

**Disposition**

Disposition not authorized.

## 1510 VESSEL FINANCIAL SERVICES FILES

These files relate to programs providing loans, subsidies, or guarantees to aid in the construction, repair, etc., of fishing vessels.

1510-01 **Pending Application files.**

Applications for loans or other forms of assistance. Subdivided by type of aid.

**Disposition**

1. Approved applications: Transfer to appropriate code for case file.
2. Rejected applications: Destroy after 5 years.

1510-02 **Fishery Loan files.**

Case files on loans made to finance or refinance costs relating to fishing vessels, including their purchase. Includes applications, case histories, insurance policies, mortgages, and related correspondence and forms.

**Disposition**

1. Collateral documents: Return to borrower when loan is repaid.
2. Other documents: Cut off when loan is repaid. Destroy 3 years later.

1510-03 **Vessel Mortgage Insurance files.**

Applications, case histories, commitments, contracts, guarantee agreements, notes insurance policies, and related papers concerning the insuring of mortgages on fishing vessels.

**Disposition**

1. Collateral documents: Return to borrower after payments completed.
2. Other documents: Cut off when payments completed. Destroy 3 years later.

1510-04 **Obligation Guarantee files.**

Guarantees for obligations incurred under 1510-03 above. May be filed with case file under that code.

**Disposition**

Same as 1510-03 above.

1510-05 **Capital Construction files.**

Includes applications, reports, and related documents on aid given to vessel owners under the capital construction program.

**Disposition**

1. Paper records which have been microfilmed (and the film verified): Cut off at termination of aid. Destroy 1 year later.
2. Microfilm copies, or paper records which have not been microfilmed: Cut off at termination of aid. Destroy 6 years later.

1510-06 **Billing Statement files.**

Billing statements sent in connection with financial aid given in items described above. May be filed with individual case files.

**Disposition**

Destroy 2 years after payment. Delinquent bills covered by 1510-07. Copies of bills filed with individual case files.

1510-07 **Delinquent Payment Report files.**

Reports of aid which is not being repaid on time.

**Disposition**

Destroy when superceded by revised report.

1510-08 **Master Loan Record Book files.**

Listings of each loan, grant, etc., with case number, dollar amount involved, dates of action, and closing date or repayment in full.

**Disposition**

Cut off when book is full or at end of fiscal year. Destroy when no longer needed for administrative use.

1510-09 **Financial Statistics files.**

Statistics developed on financial assistance provided for fishing vessels.

**Disposition**

Cut off at end of calendar year. Destroy after 3 years.

1510-10 **General Correspondence files.**

General correspondence pertaining to programs described in the subfunction.

**Disposition**

Cut off at end of calendar year when created. Destroy 2 years later.

1510-11 **Program Operation files.**

Documents relating to the operation of the various financial assistance programs.

Does

not include the individual case files, any policy formulation (see 1501-01), or records described in other series within this subfunction.

**Disposition**

Destroy 2 years after the program is superceded or when no longer needed for reference purposes, whichever is sooner.

1510-12 **Construction Differential Subsidy Program Case files.**

Applications, agreements, and related documents pertaining to subsidies given to promote the U.S. construction of fishing vessels under this program.

**Disposition**

Cut off when case is closed. Destroy 15 years later.

1511 FISHERY PROTECTION AND CLAIMS FILES

These files relate to programs to protect U.S. fishing vessels from financial loss due to gear damage, seizure by other countries, and related problems; includes claims made as a result of laws providing for the reimbursement of losses.

1511-01 **Fishery Protective Act Agreement files.**

Agreements with U.S. vessel owners relating to protection from financial losses due to seizure of vessels by other nations due to fishing in contested areas.

**Disposition**

Destroy 3 years after agreement expires.

1511-02 **Protective Act Claims files.**

Case files of claims filed as a result of the agreements in 1511-01.

**Disposition**

Destroy when 6 years, 3 months old.

1511-03 **Gear Conflict Claims files.**

Case files of claims concerning damage to U.S. gear by foreign vessels.

**Disposition**

Cut off at close of case. Destroy 3 years later.

1511-04 **General Correspondence files.**

General correspondence on the operation of the protection and claims program.

**Disposition**

Cut off at end of calendar when created. Destroy 2 years later.

1511-05 **Fishermen's Contingency Fund Claims files.**

Case files for claims for damages to fishing vessels from oil and gas activities.

**Disposition**

Destroy when 6 years, 3 months old.

1511-06 **Claims Financial files.**

Requests to the NOAA financial office for the disbursement of funds; also reports on status of funds, and similar records pertaining to the financial operation or claims programs.

**Disposition**

Destroy when 3 years old.

## 1512 FISHERY PRODUCT QUALITY AND SAFETY INSPECTION FILES

These files relate to programs to inspect fishery products for quality and safety.

1512-01 **Standards For Grades files.**

Standards for grades of fishery products, and inspector's instructions for grading fishery products.

**Disposition**

1. Record Set: Cut off when superceded. Permanent. Transfer to FRC when no longer needed for reference purposes. Offer to NARA 20 years later.\*
2. All other copies: Destroy when superceded.

1512-02 **Regulations For Processed Products files.**

Regulations affecting processed fishery products.

**Disposition**

1. Record Set: Cut off when superceded. Permanent. Transfer to FRC when superceded by new regulations. Offer to NARA 20 years later.
2. Drafts, correspondence, and copies. Destroy 3 years after approval of specification.

1512-03 **Specifications For Products files.**

Specifications for fishery products, including related drafts and correspondence.

**Disposition**

1. Record Set: Cut off when superceded. Permanent. Transfer to FRC after 3 years. Offer to NARA 20 years later.
2. Drafts, correspondence, and copies. Destroy 3 years after approval of specification.

1512-04 **Inspection Guideline files.**

Guidelines established for inspectors, and related instructions to them. Includes manuals.

**Disposition**

1. Record Set: Cut off when superseded. Permanent. Transfer to FRC after 3 years. Offer to NARA 20 years later.
2. All other copies: Destroy when superseded.

1512-05 **Interagency Coordination files.**

Coordination with other agencies on labeling procedures, USDA regulations on food products, program requirements, and related matters.

**Disposition**

Cut off at end of calendar year. Review annually. Destroy when obsolete or superseded.

1512-06 **Plant Listing files.**

Official annual listing of plants under USDC inspection.

**Disposition**

Disposition not authorized.

1512-07 **Inspection Contract files.**

Documents relating to contracts between processors and the agency for inspection services, and related correspondence, surety bonds, and other papers concerning the contract.

**Disposition**

Cut off at close of contract. Destroy 5 years after final payment. (See 101-09 for copies of contracts maintained solely for office accounting purposes).

1512-08 **Inspection files.**

Documents pertaining to inspections, including inspection certificates, related daily inspection reports and score sheets, plant production summaries, general plant survey reports, quality control plans, and related correspondence.

**Disposition**

Cut off at end of calendar year when created. Destroy 5 years later.

1512-09 **Labeling files.**

Requests for label approval, lists of approved labels, and related correspondence.

**Disposition**

Cut off at termination of inspection agreement. Destroy 1 year later.

1512-10 **Inspection Service Financial files.**

Financial status reports, reports on delinquent payments, material related to billings, and related financial records. This item does not include office budget files (see 1501-15).

**Disposition**

Cut off at end of fiscal year when created. Destroy 5 years later.

**32.**

**1512-11 Reports and Tests files.**

Reports on the effects of metal content and related material on fishery products, on methods of inspection to determine problems, and on microbiological tests conducted. (Test results relating to a specific plant should be filed in 15-08 above).

**Disposition**

Transfer to FRC when 5 years old. Destroy after 20 years.

**1512-12 Purchasing Specification files.**

Material relating to purchasing specifications for fishery products of companies, states, and private organizations.

**Disposition**

Destroy when superceded, obsolete, or no longer needed.

**1512-13 International Inspection files.**

Documents pertaining to dealings with other nations on inspection matters, such as standards, the acceptability of inspected/noninspected items, the receipt of bad products, and similar items.

**Disposition**

Cut off closed files at end of calendar year, and transfer to FRC. Destroy when 20 years old.

**1512-14 Safety Research Review files.**

Reports, data, and correspondence concerning the research into safety problems with fishery products. This item does not apply to actual research case files (see 1203-01).

**Disposition**

Cut off at end of calendar year. Review annually. Destroy when obsolete or superceded.

**1512-15 Quality Research Review files.**

Reports, data, and correspondence concerning the research into seafood nutrition issues. This item does not apply to research case files (see 1203-01).

**Disposition**

Destroy after 3 years.

**1512-16 Nutrition Research Review files.**

Reports, data, and correspondence concerning research into seafood nutrition issues. This item does not apply to research case files (see 1203-01).

**Disposition**

Destroy after 3 years.

**1512-17 Reserved**

**1512-18 Species/Commodities files.**

Information on various species or commodities, relating to resource levels, quality and safety questions, technological and utilization matter, and similar subjects.

**Disposition**

Permanent. Transfer to FRC when no longer needed for reference or research purposes. Offer to NARA after 20 years.

1512-19 **Reserved**1512-20 **Alert and Recall files.**

Copies of alerts and recalls issued by an industry or by other government agencies, and related correspondence and reports.

**Disposition**

1. Copies of alerts and recalls. Destroy when no longer needed for reference purposes.
2. Other documents: Destroy correspondence files after 2 years. Destroy reports when superseded by new report.

## 1513 FISHERY LAW ENFORCEMENT AND SURVEILLANCE FILES

These files relate to the enforcement of laws and regulations pertaining to fisheries, marine mammals, and endangered species, and related surveillance activities.

1513-01 **Violation Investigation Case files.**

Case files on investigations of laws and regulations, and outcome of investigations with action taken.

- a.** Cases forwarded from the field to Headquarters which meet one or more of the following criteria: (1) establish a legal precedent; (2) attract national or international news media attention; or (3) result in changes in internal NMFS or NOAA policy or procedures.

**Disposition**

Permanent. Cut off when case is closed. Retire to Federal Records Center when five years old. Transfer to NARA when 20 years old.

- b.** All other cases.

**Disposition**

Cut off when case is closed. Destroy when five years old.

1513-02 **Surveillance Procedures files.**

Day-by-day guidance on surveillance procedures to be used, and related material.

**Disposition**

Cut off when superseded or obsolete. Destroy 3 years later.

1513-03 **Surveillance Reports and Statistics files.**

Reports and statistics developed or made as a result of surveillance activities subdivided by type of report or statistic.

**Disposition**

Cut off at end of calendar year when created. Destroy 5 years later.

1513-04 **Foreign Citation files.**

Documents relating to citations for violations by foreign fishing vessels.

- a.** Cases forwarded from the field to Headquarters which meet one or more of the following criteria: (1) cases involving issues of sovereignty where either diplomatic negotiations or treaties were related to the resolution of the case; (2) international cases of mutual interest to the United States or other countries, such as drift net fishing on the high seas; or (3) incident attracting international news media attention.

Transfer to NARA when 20 years old.

**Disposition**

Permanent. Cut off when case is closed. Retire to Federal Records Center when 5 years old. Transfer to NARA when 20 years old.

- b.** All other cases.

**Disposition**

Cut off when case is closed. Destroy when five years old.

1513-05 **NAFD Report files.**

Reports to NAFD on catches of selected species.

**Disposition**

Cut off at end of calendar year when created. Destroy 5 years later.

1513-06 **International Commission files.**

See 609-09.

1513-07 **Interagency Liaison files.**

Coordination with other agencies (including the Marine Mammal Commission) affecting the enforcement program. Does not include any formal agreements with other agencies (see 1501-10).

**Disposition**

Cut off at end of calendar year when created. Destroy 2 years later.

1513-08 **Enforcement Regulations, Rules, and Quotas files.**

Developed by office responsible for program, and published in the Federal Register.

**Disposition**

Cut off when superseded or obsolete. Destroy 3 years later.

1513-09 **Firearm Control files.**

Documents relating to firearm distribution, including chargeout records and receipts.

**Disposition**

Destroy 3 months after return of arms.



1513-10 **Observer Program files.**

Reports, correspondence, and other documents relating to the number of observers in regions, the adequacy of coverage, and similar subjects pertaining to the maintenance and review of an observer network.

**a. Domestic Observer Program Records**

**Disposition**

Destroy when 6 years old.

**b. Foreign Observer Program Records**

**Disposition**

Destroy when 10 years old.

**c. Observer Notebooks, Logs, and Reports**

**Disposition**

Permanent. Cut off files annually and transfer to FRC when 3 years old. Transfer to the National Archives when 20 years old.

1513-11 **Permit Clearance files.**

Checks made on applicants for permits, registration, certification, etc., to determine if they have been convicted or charged with violations of marine mammal, endangered species, or fishery laws. Also inspections of facilities made as part of clearance process.

**Disposition**

Cut off at end of calendar year. Destroy after 5 years.\*

1513-12 **Import-Export Clearance files.**

Documents relating to the importing or reporting of marine mammal or endangered species products, or of fishery products which must have been obtained by methods which reduce the risk to specific species. Includes certificates of exclusion, clearance forms, and relating correspondence.

**Disposition**

Cut off at end of calendar year. Destroy after 5 years.

1513-13 **Test and Identification files.**

Tests and research conducted to determine if substances or items belonged to a marine mammal, endangered species, or otherwise protected species; and if so, what species. If part of a violation investigation file with 1513-01 above.

**Disposition**

Cut off at end of calendar year. Destroy after 3 years.

1513-14 **Agent Qualification files.**

Documents relating to the maintenance of special qualifications for agents, such as with firearms. Includes standards, range tests, firearm training, and similar material.

**Disposition**

Retain until no longer needed for reference.

1513-15 **Seized Property files.**

Documents relating to the control and tracking of property that has been seized and held in custody as part of a law enforcement action. Includes final disposition of property involved.

**Disposition**

Retain until final disposition of property.

1514 MARINE MAMMAL AND ENDANGERED SPECIES PROTECTION FILES

These files relate to programs to protect the marine mammals and endangered species placed under NOAA's responsibility.

1514-01 **Marine Mammal and Endangered Species Permit files.**

Permits, and applications for them, to permit the use of marine mammals or endangered species for display, scientific research, or other scientific purposes, or propagation. Contains information on applicants and activities to be conducted. A Privacy Act record.

**Disposition**

Cut off at end of permit. Destroy 5 years later.

1514-02 **Marine Mammal and Endangered Species Hardship Exemption files.**

Applications for exemptions on basis of undue economic hardship. Includes personal information on applicant and financial status. A Privacy Act record.

**Disposition**

Cut off at end of exemption. Destroy 5 years later.

1514-03 **Marine Mammal Inventory files.** Revised 10/31/91

Inventories of marine mammals being held on captivity. Includes any statistics on species held.

**Disposition**

: Permanent. Transfer to FRC when 5 years old. Transfer to National Archives when 25 years old.

1514-04 **Marine Mammal Regulations files.**

Revised 10/31/91.

**Disposition**

Permanent. Transfer to FRC when 5 years old. Transfer to the National Archives when 25 years old.

1514-05 **Interagency Coordination files.**

Correspondence and related documents involving coordination with other agencies having responsibilities in this subfunction's program areas, or agencies whose assistance is necessary. See 1501-10 for formal agreements.

**Disposition**

Cut off at end of calendar year. Destroy after 2 years.

1514-06 **Enforcement Guidance files.**

Guidance given to offices responsible for enforcement of related laws from office which is responsible for overall program.

**Disposition**

Destroy when no longer needed for reference purposes.

1514-07 **Species files.**

Reference file with information on species, and relevant statistics. Non-record material.

**Disposition**

Review annually and destroy all material which is obsolete or no longer needed.

1514-08 **Certification and Registration files.**

Applications (and related papers) for certification or registration of collectors, tanners, or similar operations dealing with marine mammals or endangered species; and resulting actions taken.

**Disposition**

Approved application and certifications: Destroy 5 years after application or certifications expires. Rejected applications and certifications: Destroy after 2 years.

1514-09 **Management Strategy files.**

Documents relating to the development of plans and strategies for the management and protection of specific species, and to the dissemination and coordination of such strategies. Plans for overall program activity should be filed under 1501-01.

**Disposition**

Destroy when no longer needed for reference purposes or after 2 years whichever is sooner.

1514-10 **Species Management files.**

Documents dealing with general or specific problems facing a species, or a member of it, such as beached or stranded animals, the harassment of animals, etc.

**Disposition**

Permanent. Transfer to FRC when 5 years old. Offer to NARA when 25 years old.

1514-11 **Species Data Base files.**

Information on the population levels of specific species, habitat or other requirements, and similar subject areas.

**Disposition**

Paper files permanent. Transfer to FRC when no longer needed for reference purposes. Offer to NARA after 25 years.

Field office data base files: Destroy when superceded by updated files.

1514-12 **Species Status files.**

Documents relating to determinations of the status of specific species, whether they should/should not be listed as endangered, and the need to change classifications due to petitions or new evidence.

**Disposition**

Permanent. Transfer to FRC when 5 years old. Offer to NARA when 25 years old.

1514-13 **Critical Habitat Designation files.**

Documents relating to proposals for the protection of critical habitat areas, and the resulting designations of restricted fishing or other protected areas.

**Disposition**

Revision 10/31/91. Permanent. Transfer to FRC when 5 years old. Transfer to the National Archives when 25 years old.

1514-14 **Grant Application files.**

Material submitted by states or organizations applying for grants described in 1514-15 below.

**Disposition**

1. Accepted applications: Transfer file to 1514-15 below.
2. Rejected applications: Destroy 2 years after grant awarded.

1514-15 **Grant Case files.**

Case files on grants made to states or organizations to enable them to manage marine mammals or endangered species, to conduct related research, or similar activities.

**Disposition**

Destroy 6 years and 3 months after grant file is closed.

1514-16 **State and Organization Coordination files.**

Documents relating to cooperative programs, with states and organizations for the protection, conservation, and management of marine mammals or endangered species.

**Disposition**

Cut off at end of calendar year. Transfer to FRC after 5 years. Destroy after 10 years.

1514-17 **Fishing Permit files.**

Applications, permits, and certificates of inclusion for fishing vessels, domestic or foreign, to take marine mammals incidental to commercial fishing activities.

**Disposition**

Cut off when permit expires or application is rejected. Destroy 3 years after expiration of permit.

1514-18 **Fish Importation files.**

Correspondence, reports and other documents relating to the importation of fish from countries conducting fishing operations which could result in the incidental take of marine mammals. Includes the Assistant Administrator's finding on issues or cases.

**Disposition**

Cut off at end of calendar year. Transfer to FRC after 5 years. Destroy after 10 years.

1514-19 **Vessel Transfer files.**

Applications and related documents pertaining to requests to transfer vessels to foreign registry.

**Disposition**

Permanent. Transfer to FRC when 5 years old. Offer to NARA after 20 years.

1514-20 **Hearing files.** Revised 10/31/91.

Documents relating to the conduct of public hearings on marine mammals or endangered species activities. Hearings which are part of the regulation development process should be filed with that material in 1501-06.

**Disposition**

Permanent. Transfer to FRC when 5 years old. Transfer to the National Archives when 25 years old.

1514-21 **Research Review files.**

Reviews of research being conducted on marine mammals, endangered species, or related subject area. Includes recommendations for tasks, identification of actions in variance with plans, and similar actions.

**Disposition**

Cut off at end of calendar year. Review annually. Destroy when obsolete or superceded.

1514-22 **ESA Consultation files.**

Documents relating to consultations required by Section 7 of the Endangered Species Act, or similar laws or regulations, to ensure that any action authorized, funded, or carried out by any Federal agency is not likely to jeopardize the continued existence of any endangered species, or result in the destruction or adverse modification of critical habitat of such species.

**Disposition**

Permanent. Transfer to FRC when 5 years old. Offer to NARA after 25 years.

1514-23 **Marine Mammal Exemption Program.**

Documents relating to the exemption program for commercial fishing. Includes registration data marine mammal interaction data, vessel owner data, and observer

data.

**Disposition**

Cut off at the end of exemption program transfer to FRC 5 years later. Destroy when 20 years old.

## 1515 MARINE RECREATION FISHERIES PROGRAM FILES

These files relate to the development, review, and coordination of programs dealing with marine recreations fisheries. Files dealing with negotiations and agreements with other countries should be filed under 602.

1515-01 **Program Liaison files.**

Documents relating to coordination with other agencies, states, and private organizations on recreational fisheries matters.

**Disposition**

Cut off at end of calendar year. Review annually. Destroy when superseded or obsolete.

1515-02 **Statistics and Assessments files.**

Documents relating to the resource levels of sport fisheries species, the number being caught, and similar data or assessments.

**Disposition**

Cut off at end of calendar year. Review annually. Destroy when obsolete or no longer needed for reference purposes.

1515-03 **Survey and Study files.**

Surveys, studies, and related records pertaining to recreational fisheries. Includes survey of catch efforts by fishermen, the studies of the socio-economic impact of the fisheries and any changes, etc. Note: this series may contain records protected under the Privacy Act.

**Disposition**

Cut off at end of study. Destroy 6 years after completion of study.

1515-04 **Management Plan files.**

Documents pertaining to the development and review of plans to manage the recreational fishery resources, except for plans that are a part of official Fishery Management Plans (which are filed under 1504-13). Includes reviews of possible

additions to plans, alternatives, and similar material.

**Disposition**

Cut off at end of calendar year. Review annually. Retain for 5 years after plan is superceded.

1515-05 **Program Review files.**

Documents relating to reviews of state or regional programs dealing with, or related to, recreational fisheries.

**Disposition**

Originating office: Transfer to FRC 5 years after supersession. Offer to NARA when 20 years old. Participating office: Destroy when superceded or obsolete.

1515-06 **Resource Development files.**

Documents relating to efforts to improve recreational fishery resources - aquaculture, artificial reef development, and similar programs. Does not include Columbia River program files.

**Disposition**

Disposition not authorized.

1516-01 **NRDA Post-Settlement Case Files**

Records of action performed to support or document Natural Resource Damage Assessment (NRDA) restoration activities. These activities include the design, implementation and monitoring of restoration projects. Records may include, but are not limited to, Restoration Plans, Feasibility Reports, permits clearances (NEPA, Eos, etc.), Federal Register notices, trustee council resolutions, consent decrees, MOU/MOAs, real estate documents, contracts, grants, monitoring plans, monitoring reports, technical review of monitoring reports, adaptive management decisions. Record formats may include paper, microfilm, photographs, and magnetic media such as videotapes.

**Authorized Disposition:**

- a. Recordkeeping Set: Temporary. Cut off at each phase of restoration or at milestone. Keep file in office until restoration is completed. Cut off file at each phase or milestone, keep in office one year, transfer to Federal Records Center as needed, if volume necessitates. Destroy 30 years after restoration is completed.
- b. Electronic copies created on e-mail and word processing applications: Temporary. Delete when recordkeeping copy has been produced.
- c. Microfilm: *Silver halide*: Temporary. Transfer to the Federal Records Center 2 years after restoration is completed as part of the restoration project file. Destroy 30 years after restoration is completed. *Diazo copy*: Temporary.

Destroy 90 calendar days after silver halide copy has been transferred to Federal Records Center.

1516-02

**NRDA Administrative Record Files – Post-Settlement**

Records selected by the National Resource Damage Assessment trustees that are entered in an Administrative Record. The Administrative Record documents the information that the trustees relied upon to make determinations regarding the planning, implementation and monitoring of a restoration project. These records include, but are not limited to, Restoration Plans, Federal Register notices, consent decrees, MOU/MOAs, monitoring plans, monitoring reports, technical reviews of monitoring reports, adaptive management decisions.

**Authorized Disposition:**

- a. Official Record Set: Permanent. Cut off when restoration project is completed. Transfer to Federal Records Center 2 years after cut off, or sooner if volume necessitates. Transfer to National Archives 30 years after cut off.
- b. All other copies: Duplicate copies and electronic copies used solely for convenience or stored at local Administrative Record repositories. Destroy when no longer needed for DARP business.



